# ETS-FTP 2.0
# USERS' GUIDE

Clean Air Markets Division
U.S. Environmental Protection Agency

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## 1       INTRODUCTION

The U.S. EPA's Emission Tracking System (ETS) provides a mechanism for the collection, quality control, storage, and maintenance of emissions data as required by Title IV of the 1990 Clean Air Act Amendments and related emission trading programs such as the Ozone Transport Commission's $NO_x$ Budget Program (OTC NBP).  ETS is comprised of two components: an EPA mainframe component and a PC component distributed to the regulated industry.  The mainframe component resides on a computer at EPA's National Computer Center (EPA/NCC), and is where EPA receives, stores, and analyzes data.  The PC component, called ETS-FTP, is a Windows-based software package used by regulated companies to submit their quarterly emissions data reports to the mainframe ETS via the Internet and to receive feedback on the acceptability of the data.  This Users' Guide describes installation, set-up, and use of ETS-FTP.

Under Part 75 of the Acid Rain provisions of the 1990 Clean Air Act Amendments, EPA requires all owners and operators of utilities subject to Title IV to measure emissions continuously and record and report to EPA $SO_2$, $NO_x$, and volumetric flow data for all affected units.  In addition, they must continuously measure (or estimate using prescribed methods), record, and report $CO_2$ emissions and heat input.  The data are required to be formatted according to EPA's Electronic Data Reporting (EDR) requirements, and then submitted to EPA on a quarterly basis.  Phase I affected sources began reporting their data in January 1994 and Phase II sources began reporting in April 1995.

For the OTC $NO_x$ Budget Program, State regulations require the submission of $NO_x$ mass emissions data to support $NO_x$ allowance trading in the Northeast and mid-Atlantic States.  Reporting for this program began on May 1, 1999.

For detailed information about quarterly report submission requirements, consult the latest versions of the "EDR v2.1 Reporting Instructions" and the "NOx Budget Program Monitoring Certification and Reporting Instructions."  These documents and related information are available from EPA's Clean Air Market Programs Web site (www.epa.gov/airmarkets).

ETS-FTP is the primary mechanism for Acid Rain Program and OTC NOx Budget Program quarterly report submissions.  ETS-FTP is designed to reduce operating and troubleshooting costs, improve performance and reliability, and take advantage of the expanding Internet communications network.  For EDR submissions, ETS-FTP uses File Transfer Protocol (FTP) across the Internet to the EPA mainframe.

ETS-FTP is available from EPA free of charge and may be used without a license from EPA.

The ETS-FTP menus, file management features, and report display features were written and compiled in Borland Delphi Version 5.  The PC-to-mainframe

communications software incorporated into ETS-FTP is the IP*Works! FTP, Telnet, and Windows socket controls by DevSoft, Inc.  ETS-FTP uses a Borland Paradox 7 database to track the progress and status of quarterly report submissions, save reports and logs, and maintain other user information.

The ETS-FTP software and related information are available on the EPA's Clean Air Market Program's Web site:  www.epa.gov/airmarkets/reporting/etsftp .   If you are unable to download ETS-FTP from the Web site, you may also obtain it on CD by request via the EPA Clean Air Markets Hotline at (202) (202) 343--9620.

In order to submit data to EPA via the Internet, EPA also requires the use of security procedures, software (specifically Check Point VPN-1 SecuRemote software from Check Point Software Technologies, Ltd.), and SecuRemote passwords.  For more information on security requirements for Internet submission, consult the EPA NTSD SecuRemote Web page, www.epa.gov/ntsd/securemote.

Before you can use ETS-FTP to submit quarterly reports to EPA via the Internet, EPA requires you to submit (via e-mail) a written request so you can be registered as an authorized user.  EPA will assign you a personal EPA user ID and initial mainframe password and will also register you for a security program (SecuRemote) that you will need to install at the computer from which you will submit your quarterly reports.  SecuRemote provides a secure connection between the authorized user's computer and the EPA's mainframe computer.  Registration information is available from the Clean Air Market Programs Web site, and links are also provided to EPA's SecuRemote Web site (www.epa.gov/ntsd/securemote) where you can download the SecuRemote software and instructions.

Be sure to periodically access the Clean Air Market Programs Web site for updates and bulletins relating to ETS-FTP software, SecuRemote software, and the quarterly report submission process.

## 1.1    Obtaining the Software and Related Information Regarding Quarterly Reporting Requirements

EPA distributes the ETS-FTP software and related information on the EPA's Air Markets Program ETS-FTP Web page,  www.epa.gov/airmarkets/reporting/etsftp.

If you are unable to download the software, you may also obtain it on CD by request via the EPA Clean Air Markets Division Hotline at (202) 343-9620.

Be sure to periodically access the EPA's Air Markets Program ETS-FTP Web page,  www.epa.gov/airmarkets/reporting/etsftp, for updates and bulletins relating to ETS-FTP software and EPA Air Markets Program home page, www.epa.gov/airmarkets for the quarterly report submission process.  Also, check the EPA NTSD SecuRemote Web page, www.epa.gov/ntsd/securemote, for updates and bulletins relating to SecuRemote software.

## 1.2     Technical Support

SECUREMOTE INSTALLATION AND OPERATION:  In order to successfully install and test SecuRemote you must ensure that you have registered for, and received, an EPA User ID and your SecuRemote password.  For registration information, go to EPA's Clean Air Market Programs Web site at www.epa.gov/airmarkets/reporting/etsftp.  After you have been registered as an authorized user, you can download the SecuRemote software and instructions from the EPA NTSD SecuRemote Web site at www.epa.gov/ntsd/securemote.  For help with software installation you can contact PQA.

>       Perrin Quarles Associates, Inc. (PQA)
>       675 Peter Jefferson Parkway, Suite 200
>       Charlottesville, VA  22911
>        Phone:    (434) 979-3700
>        Fax:        (434) 296-2860
>        E-mail:   ets@pqa.com

SECUREMOTE PASSWORD PROBLEMS:  You need to change your SecuRemote Password every 90 days.  You will also be required to update your SecuRemote certificate on a regular basis.  For instructions, go to the EPA NTSD SecuRemote Web site, www.epa.gov/ntsd/securemote.  To change your SecuRemote password, you can go to the following secure Web site: https://sr3a1.nccr.epa.gov.  If you cannot access the Web site to change your password, or if you have questions/problems regarding your SecuRemote password, please call EPA's Technical Support Center.

>        EPA Technical Support Center
>        Phone:  (866) 411-4372

Authorized users must have a valid EPA User ID and SecuRemote password in order to successfully authenticate themselves and gain access to EPA's computer system (when SecuRemote prompts you to enter your "Username," enter your EPA user ID).  Remember, the SecuRemote password is case-sensitive.

If you connect to the EPA firewall with SecuRemote and receive a popup dialog box indicating that the "Negotiation with firewall at site ag has failed.  Access denied by TACACS authentication," contact the NTSD Technical Support Center for a new SecuRemote password.

If you cannot connect to the EPA firewall with SecuRemote or receive a popup dialog box indicating that the "communications failed with EPA site AG," contact PQA for assistance.

MAINFRAME ACCESS PROBLEMS:   If you successfully pass the SecuRemote authentication step but you find that ETS-FTP is denied mainframe access due to

problems with your mainframe password or EPA user ID, contact the Clean Air Markets Division hotline and leave a message that you need assistance.

> EPA Clean Air Markets Division Hotline
> Phone:  (202) 343-9620

You must change your mainframe password every 90 days.  The following examples are situations where you will encounter mainframe access problems:

- ! The mainframe password you entered in the Password screen is invalid.

- ! Your mainframe password has expired (more than 90 days old).

- ! Your mainframe password has expired and you are unable to change it using ETS-FTP.

- ! You have misplaced your correct mainframe password.

- ! Your mainframe access has been revoked (you MUST contact EPA to resolve this).

- ! The EPA user ID you entered in the Password screen is invalid (you MUST contact EPA to resolve this).

- ! You are not authorized to submit EDRs for one or more facilities (you MUST contact EPA to resolve this).

ETS-FTP AND SECUREMOTE INSTALLATION OR OPERATION:  If you encounter problems connecting to the EPA firewall with SecuRemote or have other questions, comments, or problems regarding this manual or the use of ETS-FTP please contact PQA.

> Perrin Quarles Associates, Inc. (PQA)
> 675 Peter Jefferson Parkway, Suite 200
> Charlottesville, VA  22911
> Phone:   (434) 979-3700
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> E-mail:  ets@pqa.com

## 2      INSTALLATION

### 2.1     Hardware and Software Requirements

ETS-FTP is designed for use on an IBM-compatible computer (Pentium or higher processing capability).  The computer should have at least 32 megabytes (MB) of random access memory (RAM) and use as its operating system, Windows 95 or higher.  ETS-FTP will not run under UNIX.  A computer with additional RAM, a faster CPU, and faster communications connection to the Internet will improve performance.  For best viewing results, run the program with a minimum screen resolution of 800x600 (256 colors).

ETS-FTP software uses a total of approximately 10 MB of hard disk space during the installation.  Additional hard disk space is required to store quarterly reports and ETS output files (transfer logs and mainframe feedback files).  The size of a quarterly report depends on the number of stacks/units reported in the file and the type of records included in the submission.

ETS-FTP may be used on a stand-alone PC or on a Local Area Network (LAN). If you are installing the software on a LAN, consult your LAN administrator.  You must be logged on to the LAN and have the rights necessary to create and delete directories and files.

It is not necessary to install ETS-FTP on the computer on which the Data Acquisition and Handling System (DAHS) software is installed.  It is only necessary for DAHS software to create and export quarterly report files which you need to place in a subfolder accessible to ETS-FTP for transfer to the EPA mainframe.

Other than an active connection to an Internet Service Provider, the SecuRemote security software, and, possibly, an upgrade for the Windows 95a Internet DLLs that are needed to access EPA's computer resources via the Internet, no additional software is required to operate ETS-FTP.

### 2.2     File Location Defaults and Requirements

The ETS-FTP installation program installs the software in one folder (you can use the default folder name or specify an alternate folder name for the installation) and two default subdirectories to that location.

**ETS-FTP Main Program Folder**
Default C:\PROGRAM FILES\ETS-FTP

The ETS-FTP program files (programs, help files, resource files, etc.) are stored in the Main Program Folder.  This subfolder must have free disk space for files approximately 8 MB in size.

**General ETS-FTP Data File Folder**
Default C:\PROGRAM FILES\ETS-FTP\WORKING

The quarterly reports, the IMPLODE.EXE (for compressing quarterly reports prior to submission to EPA) and RANGE.EXE (ETS-PC Version 6 range checks for EDR Version 2.1) programs, and temporary files are stored in the ETS-FTP\Working subfolder.  This subfolder must have adequate free disk space for files approximately 1.0 MB in size, plus enough space to accommodate quarterly reports.  For LAN installations, ETS-FTP needs to use a local private folder.  It creates a subfolder ETS-FTP_userid under the default Windows TEMP folder.

**System Folder**
Default C:\PROGRAM FILES\ETS-FTP\SYSTEM

The ETS-FTP databases are stored in the ETS-FTP\System subfolder.  The installation database is small (approximately 0.2 MB). As quarterly reports are added, reviewed, and submitted to EPA, the resulting tracking information, logs, and mainframe feedback files will increase the size of the database.  You can manage the size of the database by deleting the completed or canceled submission entries from the Transfer History screen.  This subfolder must have adequate free space for files totaling approximately 2.0 MB in size, plus enough space to accommodate the database as it grows.

**Windows System Files**

ETS-FTP requires the use of the Borland Database Engine (BDE) to manage the Paradox database.  If there is an existing copy of the BDE registered to your system, the BDE_FULL installation will overwrite the existing version with the components from the CD or install file.  Otherwise, it will write the BDE to C:\PROGRAM FILES\COMMON FILES\BORLAND SHARED\BDE.  These files must be installed on your local drive for both PC and LAN installations of ETS-FTP.

## 2.3    Replacing ETS-PC

ETS-FTP is not an upgrade.  It is a replacement of ETS-PC.  It is a Windows application and the default application folder is C:\PROGRAM FILES\ETS-FTP.  Do not install this application in existing ETS-PC directories.

## 2.4    Instructions

You should either have an ETS-FTP installation CD or have downloaded the installation program and associated instructions from the EPA's Clean Air Market Programs Web site at www.epa.gov/airmarkets/reporting/etsftp .  Do not install ETS-FTP in an existing ETS-FTP folder if one already exists on your computer.  If this is the case you can specify a different folder name to which the new installation will take place.

**Step 1.**   Place the CD in the CD ROM drive or locate the unzipped ETS-FTP install file which was downloaded from the Internet and should be stored in a separate ETS-FTP subfolder.  If you have a downloaded zipped file containing the installation package, unzip the file into an empty folder, and use that folder as your ETS-FTP installation subfolder.

**Step 2.**   Open Windows Explorer.  If you are installing from a CD, click the drive letter corresponding to your CD drive.  If you are installing from the files downloaded from EPA go to the ETS-FTP installation folder you created in Step 1.  In either case, find and double-click the SETUP.EXE program to start the ETS-FTP installation process.

The default set-up for the ETS-FTP installation program is to install the software in the C:\Program Files\ETS-FTP default application folder. Alternatively, you can choose to install the software in a folder with a different name that you specify (the installation program will create the folder if it does not already exist).  The installation will create WORKING and SYSTEM folders under the ETS-FTP application folder. In addition, a private working subfolder, ETS_FTP_*userID*, under the default Windows TEMP folder may be created for the installation of ETS-FTP to a LAN folder.  On most PCs the default TEMP folder is identified by the TEMP Windows environment variable as C:\TEMP or C:\WINDOWS\TEMP.

**Step 3.**   After installation is complete, create a desktop shortcut for ETS-FTP.  To create the shortcut, right-click your mouse on the desktop, select "New," and then select "Shortcut."  Follow the wizard.  Use "Browse" to locate the ETS_FTP.EXE program file (you should find it in the installation folder created in Step 2.).  Name the shortcut "ETS-FTP" and follow the wizard to complete the shortcut.  The ETS-FTP shortcut icon will now appear on your desktop.

**Note:**   Before you can execute ETS-FTP successfully you must install the Borland Database Engine.

**Step 4.**   Place the CD in the CD ROM drive or locate the unzipped BDE_FULL install file which was downloaded from the Internet and should be stored in a separate BDE subfolder.  If you have a downloaded zipped file containing the installation package, unzip the file into an empty folder, and use that folder as your BDE installation subfolder.

**Step 5.**   Open Windows Explorer.  If you are installing from a CD, click the drive letter corresponding to your CD drive.  If you are installing from the files downloaded from EPA, go to the BDE installation folder you created in Step 4.  In either case, find and double-click the SETUP.EXE program to start the BDE installation process.

The default set-up for the BDE installation program is to install the software in an existing copy of the BDE registered to your system.  The installation will overwrite the existing version with the components from the CD or install file.  Otherwise, it will write the BDE to C:\PROGRAM FILES\COMMON FILES\BORLAND SHARED\BDE.  It will register the BDE components in the Windows Registry.

**Step 6.**    Double-click the shortcut to start ETS-FTP.  Consult the other Help topics for more information about the program's functions and additional configuration.

**Prerequisites for accessing EPA's computer system using ETS-FTP**

Before you can use ETS-FTP to submit quarterly reports to EPA be sure you have completed the following tasks:

1)  Register with EPA to become an authorized user.  Each individual (DR, AAR, or staff member authorized by a DR/AAR) who accesses EPA's mainframe computer must have their own User ID assigned by the EPA.  Your mainframe password is originally assigned by the EPA.  You must change it before it expires every 90 days.  You will be assigned your personal EPA user ID and will be registered for EPA Mainframe and SecuRemote access.  CAMD will issue the EPA Mainframe initial password.  NTSD will issue the TSSMS SecuRemote initial password.

Submit your registration request to EPA via e-mail.  Registration information is available from the EPA Air Markets Division ETS-FTP Web page, www.epa.gov/airmarkets/reporting/etsftp, or you can contact Craig Hillock (202) 343-9105 or Kirk Nabors (202) 343-9171 for information.

2)  Install the SecuRemote software on your computer and have your SecuRemote password handy.

3)  Install both ETS-FTP and the Borland Database Engine and enter your EPA-assigned user ID and associated mainframe password in ETS-FTP's Password screen.

4)  Confirm that you have established an active connection to the Internet before you attempt to access the EPA mainframe.

Use of ETS-FTP for More Than One Authorized User

ETS-FTP supports one user at a time (the current user is identified in ETS-FTP's Password screen by the EPA-assigned Submitter User ID).  If at all possible, each user should have ETS-FTP installed on a separate workstation.  If you need to

support multiple users on a single workstation, it is best to install a separate copy of ETS-FTP for each user under a different folder name.  This will help prevent users from inadvertently mixing their user ID and password information, which can cause problems in accessing the EPA computer systems and/or submitting EDR files for certain facilities.  Users MUST NOT share User IDs and passwords. The BDE only needs to be installed once.

## 2.5      Reinstallation of ETS-FTP

If serious, unrecoverable errors occur during use of ETS-FTP, it may be necessary to reinstall the software.  Reinstalling ETS-FTP will not erase any quarterly reports, but you may lose the mainframe feedback reports stored in the database. The ETS-FTP database may become corrupted.  Corrupted tables can be repaired if the damage is not too severe.  It is prudent to save what you have completed before attempting to repair the database or reinstall ETS-FTP.  During reinstallation you may also choose not to overwrite the Paradox database which contains your existing transfer logs and feedback reports.  In some cases it may be best to reinstall the software to a new folder instead of attempting to replace the previous version.  Go to the "Technical Support" help section to find how to get assistance if you need to reinstall the software or repair a database.

## 3       QUICK SUMMARY OF THE BASIC SUBMISSION PROCESS

Use the following instructions as a quick reference for using the Active Transfers screen.  This screen allows you to perform and track each stage of the process of submitting a quarterly report file (EDR) to EPA and retrieving the feedback report.  Once you gain a basic feel for how the program works, you can process multiple files at a time if you wish.

Before submitting any files, establish your Internet connection, go to the Password tab, and ensure that you have entered your EPA-assigned User ID and mainframe password (for more detailed instructions, see Section 4.4, Password Screen).  Do not use your SecuRemote password.  After entering your user ID and password, click the Active Transfers tab to return to the Active Transfers screen.

When you first start ETS-FTP, the Active Transfers screen appears.  Here you can perform and track each stage of the submission process. To process an EDR file, perform the following steps (1-6).  For more detailed instructions, see Section 4.1 below.

**Step 1.**   Set the ETS Default Submission Type

In the Submission Type group box, use the drop down list box to select the ETS Default Submission Type, either "Official" or "Test," before adding EDR files.  If you plan to perform official submissions, choose "Official" to ensure each EDR that is added to the list is submitted to the official EPA database for compliance purposes.  Select "Test" if you want each EDR that is added to the list to be submitted to the unofficial EPA database (a test submission does not constitute an official submission).

**Step 2.**   Add an EDR File

Use the Add File button to locate and select an EDR file that you want to add to the list.  In the Add EDR File dialog window, highlight the desired EDR file and click the Open button to add the file to the list.  The EDR is quickly scanned to verify that it is readable and that it passes several basic file requirements.  The RT 100 is read to determine the ORIS Code, quarter, and year, and the Unit/Stack ID is extracted from the first RT 200 or RT 300-level record encountered in the file.  If the EDR passes the screening checks it is entered into the tracking window which comprises the lower two-thirds of the Active Transfers screen.  The entry will indicate that "Check" is the next step to perform in the process.  If the EDR fails the screening checks the submission is cancelled and the tracking information is recorded in the tracking window.  The entry will indicate that "Failed Pre-transfer Checks" is the last step and "Cancelled by ETS-FTP" is the next step.

**Step 3.**   Check the EDR File

Before you can submit the EDR to EPA you must perform basic pre-transfer
screening checks on the file. To do so, click the Check button.  The Pre-
transfer Check screen now appears; click the Start button to trigger the
checking process.  First, the EDR is scanned to verify that it contains required
program/reporting certification and signature information (RTs 900 through
941).  Next, each record in the EDR is checked for data range and format
errors.  The results are saved in a Check log file for you to review.  Finally
ETS-FTP compresses the EDR file and indicates in the tracking log that the
next step is "Upload."  Click the Close button to return to the Active Transfers
screen.  You can view, print, or save a copy of the Check log file by clicking
the Check button within the View Files group box on the Active Transfers
screen.

**Step 4.**   Connect to the Mainframe and Start the Upload

Before you submit the file, ensure that you have an active Internet connection.
If so, click the Connect button.  The Mainframe Connection screen now
appears; click the Start button to begin the FTP transfer process.  At this point
a popup window may appear where you are prompted to enter your
SecuRemote username (EPA user ID) and SecuRemote password for user
authentication purposes, and to establish a secure connection with the EPA
computing system.  If the SecuRemote authentication is successful, ETS-FTP
will connect to the mainframe, upload the compressed EDR and additional
batch processing instructions for the mainframe, and disconnect.  The tracking
log will now indicate the next step is "Download."  Click the Close button to
return to the Active Transfers screen, and wait for the submission to complete.

**Step 5.**   Connect to the Mainframe and start the Download

Wait approximately five to 10 minutes for the mainframe to process the EDR
and generate the feedback report for you.  During periods of congestion on the
mainframe, such as the last two weeks of the reporting period, extend the
waiting time to an hour.  When you want to download the feedback, click the
Connect button and then the Start button.  ETS-FTP will connect to the
mainframe and attempt to download the feedback report. If the feedback is
ready it will be downloaded to your PC and ETS-FTP will disconnect from the
mainframe.  Click the Close button to return to the Active Transfers screen.
The tracking log will now indicate that the next step is "<None>" and that the
EDR processing is completed.  On the other hand, if the feedback is not ready,
ETS-FTP will display a message and disconnect from the mainframe.  You
will need to wait several more minutes and try again.

**Step 6.**    View Results File

To view the mainframe feedback report for the EDR, go to the <u>View Files</u> group box of the Active Transfers screen and click the <u>Feedback</u> button to view, print, and/or save a copy of the feedback report.

**Note:**    During the first and second quarter 2000 submission periods CAMD staff noticed a number of feedback files (USUMMARY) locked on the mainframe.  This prevented ETS-FTP from downloading the feedback file.  The problem is caused by the concurrent access of the feedback report by ETS-FTP and the mainframe program that generates the feedback report.  ETS-FTP uploads the EDR file and starts the mainframe batch program.  The mainframe program creates the feedback file, generates the results, writes the report, and closes the file.  If, while the mainframe program is using the feedback file, ETS-FTP attempts to download the feedback a lock can be placed on the feedback file.  The mainframe program is blocked from using the feedback file.  ETS-FTP cannot retrieve it but submits a post-process cleanup program for the mainframe files. Subsequent attempts to download the file schedule more cleanup programs to run.  The result is a deadlock.  Only the mainframe operator or a mainframe restart can clear the deadlock.  Once the deadlock is cleared, cancel the stalled ETS-FTP submission and repeat the submission.

To avoid this situation, simply allow enough time for the mainframe to complete its processing of the feedback report file.  During times of peak mainframe usage wait an hour or so between the upload of an EDR file and the download of a feedback report.

**4      USING THE MAIN ETS-FTP SCREEN**S

Clicking the tabs at the top of the main ETS-FTP screen allows you to access four different application modules to exchange files with the mainframe, review the results of the submission, and maintain mainframe user account information.

**4.1     Active Transfers Screen**

When you start ETS-FTP the Active Transfers screen appears.  At the top of the screen is a row of four large program tabs labeled Active Transfers, Transfer History, Quarterly Status, and Password.  These tabs enable you to navigate between ETS-FTP's primary screens.

The Active Transfers screen allows you to manage your list of active EDRs that is displayed in the lower two-thirds of the screen (white background), and access various processing functions (described below).

**Figure 1:  Active Transfers Screen**
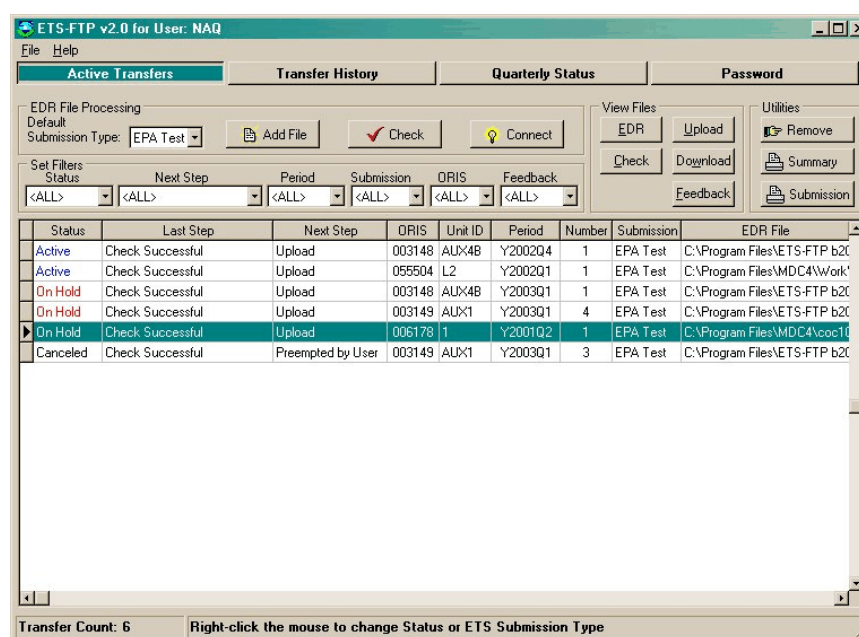


**4.1.1   Screen Functionality**

The upper portion of the Active Transfers screen contains group boxes of command buttons and drop down list boxes that will allow you to add files, perform submissions, receive information, manage your EDR Active Transfers List, and view results.  Popup hints display when the mouse pointer rests on a button, list, or group box (you can turn off this hint feature; see "Options Screen," Section 5.1).  Short instructions appear on an instruction line at the bottom of the screen.

The lower two-thirds of the Active Transfers screen contains a list of your selected EDRs and their current processing status (Active, Completed, etc.). The Status column identifies whether each EDR entry is "Active" or "Completed," whether you have temporarily put an EDR "On Hold," or finally, if the EDR entry has been "Canceled" by you (or ETS-FTP) due to a problem.

There are four main groupings of controls. They are labeled as follows: EDR File Processing, Utilities, Set Filters, and View Files. Each group enables you to perform certain tasks, as described below:

1)  The <u>EDR File Processing</u> group allows you to initiate the software functions needed to add EDR files, check files, upload EDR files to the EPA mainframe, and download the resulting feedback reports from the EPA mainframe.

    a)  The <u>Default Submission Type</u> list box allows you to choose the default submission type for each EDR that you add to the Active Transfers list. Select "Official" to ensure EDRs are submitted to EPA for official compliance purposes, or select "Test" if you want to submit unofficial, practice EDRs.

        **NOTE:** You can change the submission type for individual EDRs after they are added to the list, if necessary. To do so, highlight the EDR in the Active Transfers list and then right-click your mouse to display a popup update menu. Go to the bottom of the menu and click either "Official" or "Test," as appropriate, to change the submission type setting for the EDR.

    b)  The <u>Add File</u> button allows you to select and add an EDR file to the list of Active Transfers entries. An Add EDR File dialog box will appear that will enable you to navigate among system drives and folders to locate your files. When you locate a desired EDR file, highlight it and click the <u>Open</u> button to add it to the list. You cannot have duplicate "Active" or "On Hold" entries in the list for EDRs having an identical ORIS Code, Unit/Stack ID, and reporting period.

        **NOTE:** Files which do not have proper end-of-line breaks are imported to a temporary ASCII DOS Text file for processing; the translation may take a few extra seconds to complete before the file is added to the list (the original EDR file is not changed).

    c)  The <u>Check</u> button allows you to perform the pre-transfer EDR checks and the ETS-PC Range Checks. After performing these checks, ETS-FTP creates a compressed copy of the EDR for uploading to the mainframe later.

To start, click the <u>Check</u> button to open the Pre-transfer Check panel. This panel will display all of the EDR files in the list that have an "Active" status and for which the next step is "Check." Each of the displayed EDRs will be checked. Click the <u>Start</u> button; ETS-FTP will check each file and create a compressed ("imploded") copy.

**Figure 2: Checking Screen**
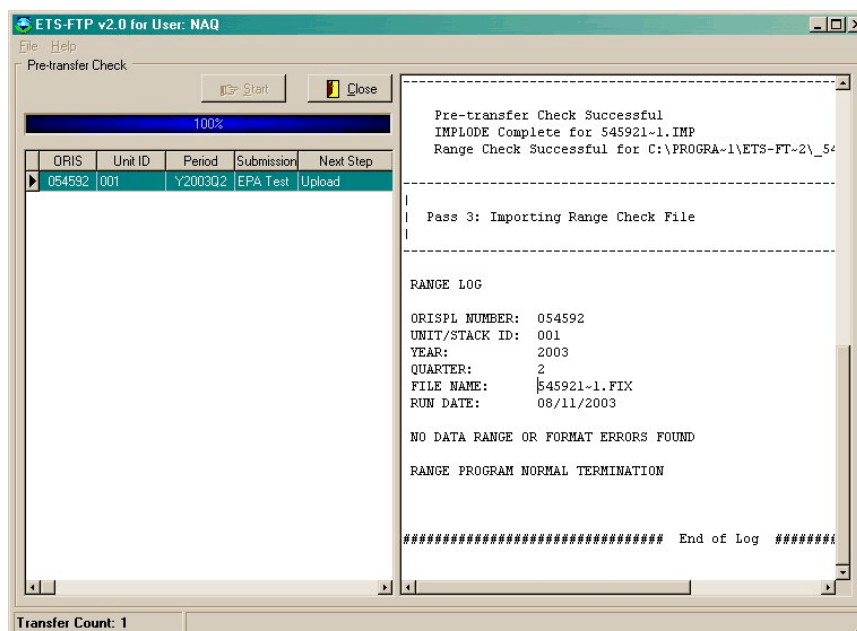


The EDR checks consist of two basic screening checks:

(1)   ETS-FTP scans the EDR to determine if required compliance certification and signature records (RTs 900-941) are present. ETS-FTP will issue a warning if these records are not present or if they are incomplete; you may either choose to continue processing the EDR file or you can cancel the entry, correct the EDR, and start again.

(2)   It performs Range and Format data checks. A subprogram reads each record in the file to verify that it conforms to EPA's EDR reporting requirements and that reported numerical values are within acceptable limits and reported codes are valid. If the Range program cannot perform the checks, you can still submit the EDR to the EPA mainframe.

d)   The <u>Connect</u> button in the Submissions group box allows you to initiate a mainframe submission session when you want to submit an EDR file or retrieve the feedback report for a previously submitted file.

**NOTE:**    After you submit an EDR to the mainframe ETS-FTP does not remain connected waiting for the mainframe to process the EDR and create the feedback report.  Instead, you need to initiate the download later, as a separate step.

To start, click the <u>Connect</u> button.  The Mainframe Connection panel will appear.  This panel will list all EDR files that currently have an "Active" status and whose next step is listed as "Upload" or "Download." Click the <u>Start</u> button to initiate the transfer and wait for downloads and uploads to complete.  As the transfer proceeds for each EDR in the Active Transfers list, the light bulb icon in the panel title will toggle between "On" (yellow) and "Off" (grey) to indicate the status of the FTP connection, and the right side of the screen will display a running status of the transfer (FTP commands, byte counts, messages, etc.).  These details are also recorded in either the Download or Upload Log for each EDR, as appropriate.  If a problem occurs during the session, the information saved in the logs can help in resolving the problem.

If the submission session "freezes" and there is no progress or response for several minutes, you can click the <u>Cancel FTP</u> button in order to cancel the transfer and disconnect the FTP session.  The <u>Cancel FTP</u> button is enabled whenever ETS-FTP is connected to the mainframe. This button should only be used as a last resort to cancel a terminally stalled FTP session.  Generally, an apparently stalled session will time out and return control to ETS-FTP enabling the <u>Close</u> button.  Be patient, the FTP connection may be active but not responsive due to congestion on the Internet or the mainframe.  In most cases after cancelling the FTP session, you can retry the connection after a short wait.  If the problem persists you will likely need to contact PQA Technical Support for assistance.

You can process multiple files during a single session (download feedback reports for other previously submitted files and upload EDR files).  ETS-FTP will attempt to download, or upload, any EDR with an "Active" status and where the Next Step is "Download" or "Upload." After submitting one or more EDRs you should wait approximately 10 minutes (per submitted EDR) before attempting to retrieve the mainframe feedback reports.  In most cases this will allow adequate time for the EPA mainframe to complete processing and generate the feedback reports for you (mainframe response may be slower during peak processing times, typically between 10am and 2pm Eastern Time, Monday through Friday).

For multiple file submissions and feedback retrievals in a single session, ETS-FTP coordinates the session to ensure that all tasks are performed in the correct order.  First, any pending feedback downloads are performed before EDR uploads.  For multiple calendar quarter submittals,

processing for an earlier quarter is performed before later quarters (chronological order).  Within a calendar quarter, reports are processed in numerical order by ORIS Code, and within an ORIS Code reports are processed in alphanumeric order by Unit/Stack ID.  During the processing, ETS-FTP will make a single pass through the displayed list and connect, transfer (upload or download), and disconnect for each EDR.  After the last item is processed, ETS-FTP disconnects from the mainframe and closes the session.

Steps performed during a Download:

(1)   If the next step for an EDR is "Download," ETS-FTP connects to the mainframe and logs on.

(2)   ETS-FTP searches the mainframe folder for the EDR's feedback file, according to the ETS submission type, ORIS Code, Unit ID, and calendar year and quarter.

(3)   If the feedback report is ready, ETS-FTP downloads a copy, inserts the report into the ETS-FTP database, uploads instructions to the mainframe to complete final processing for the EDR, records the mainframe job number for the program, changes the last step to "Download Successful," and the next step to "<None>," and, finally, changes the EDR status to "Completed."

(4)   If the feedback is not ready, the next step for the EDR remains "Download" and ETS-FTP moves to process the next EDR file in the active list, if any remain.  The Upload and Download logs retain each session's information for all attempts to transfer files.

Steps performed during an EDR File Upload:

(1)   If the next step is "Upload," ETS-FTP prepares the mainframe instructions, connects to the mainframe and logs on.

(2)   The compressed EDR file is uploaded to the mainframe to create (or replace, if this is a resubmission) the appropriate mainframe file (determined by the ETS submission type, ORIS Code, Unit/Stack ID and year and quarter for the EDR).

(3)   After the EDR file has been transferred, ETS-FTP uploads the mainframe processing instructions, records the mainframe job number for the program, changes the last step to "Upload Successful," and changes the next step to "Download."

(4)  If the EDR was not successfully uploaded, the next step remains "Upload" and ETS-FTP will process the next EDR in the list, if any remain.

**Figure 3:  Mainframe Connection Screen**
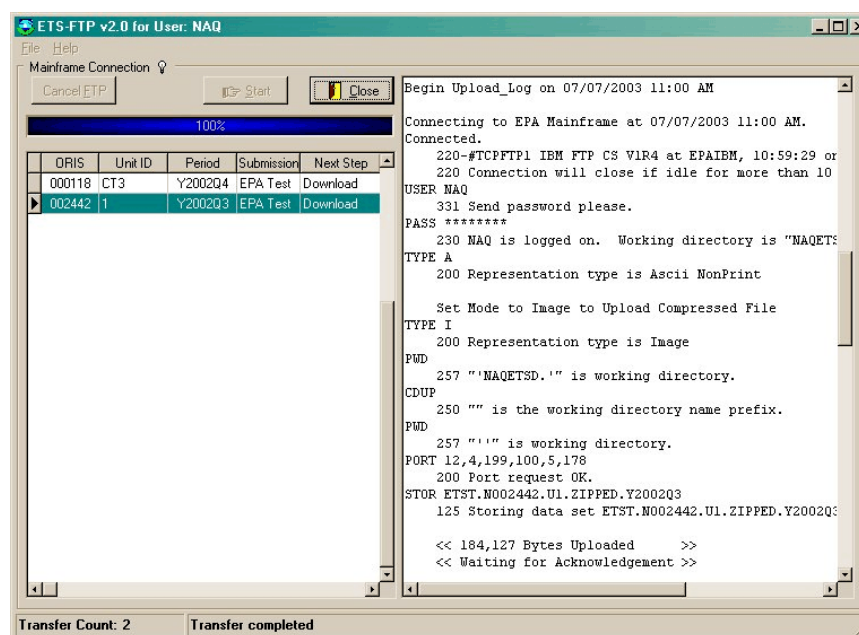


2)  The <u>Utilities</u> group box on the upper far right portion of the screen enables you to remove "Completed" or "Canceled" entries from the Active Transfers screen (all entries are still tracked in the Transfer History screen), and allows you to view Summary and Detail information about each EDR entry.

    a)  To remove an EDR entry from the Active Transfers screen, click the desired entry to select it and then click the <u>Remove</u> button under Utilities.

       **NOTE:**  You can only remove "Completed" or "Canceled" entries.  You will be asked to confirm that you want to remove the file. Click the <u>OK</u> button to confirm and you will see that the EDR entry will disappear from the Active Transfers list.  Once an entry has been removed, you can go to the Transfer History screen to view the files and any associated feedback files and logs.

    b)  Click the <u>Summary</u> button in the Utilities group to display the Active Transfers Summary report.  The report displays submission summary information for all the EDR entries listed in the Active Transfers list.  You can print and/or save the displayed report.

c)  Click the <u>Submission</u> button in the Utilities section to display the Active Transfers Submission report.  The report displays detailed processing and submission information for the EDR entry currently highlighted in the Active Transfers list.  You can print and/or save the displayed report.

**Figure 4:  Submission Report**
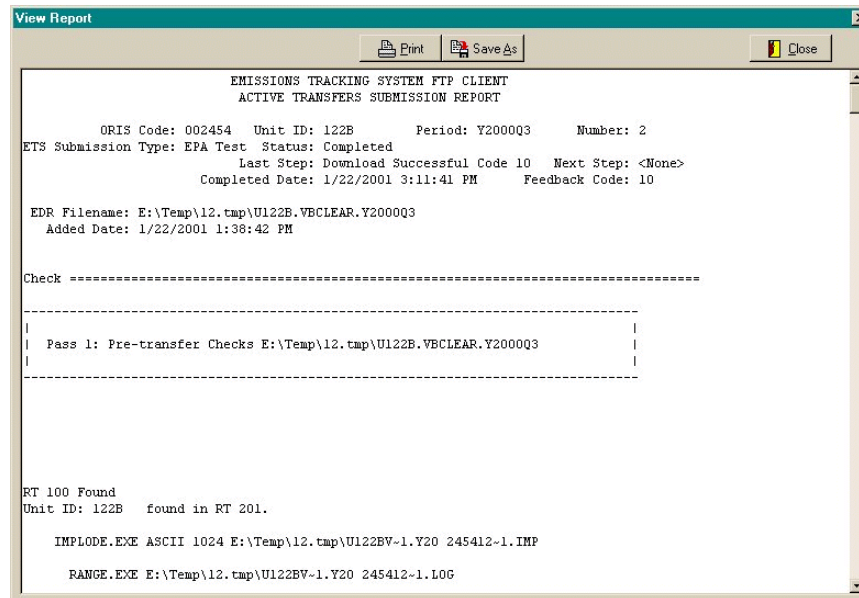


3)  The <u>Set Filters</u> group box (small white boxes, starting at the middle, left side of the screen) allows you to tailor temporarily the Active Transfers list to display only entries for certain EDRs.  For example, you may want to limit the current display to entries for a specific ORIS Code or specific calendar quarter.  Click one or more of the Filters (Status, Next step, Period, Submission, ORIS, and Feedback) and choose a value to limit the list.  The available choices for Period (calendar quarter) and ORIS are derived from the EDRs you have already added to the list.

NOTE:  After the list is filtered, only those EDRs which are now displayed will be included in reports or processed when you either choose to Check files or Connect to the mainframe.  To redisplay all the EDRs contained in the list, set all of the filter choices to "<ALL>."

4)  The <u>View Files</u> group box on the upper right portion of the screen allows you to view, print, or save copies of files and logs associated with an EDR entry that you have highlighted in the list.

a)  Click the <u>EDR</u> button to display the quarterly report file for the highlighted entry.  This allows you to visually inspect the selected EDR. You can use the scroll bar to navigate quickly through the file if desired. You cannot edit the file.

b) Click the <u>Check</u> button to display the contents of the Check log. This log contains the results from the EDR pre-transfer checks and from the Range and Format checks. You can print the file, or save a copy to a filename of your own choosing. If the checks have not yet been performed on the file, ETS-FTP will tell you that the log is empty.

c) Click the <u>Upload</u> or <u>Download</u> buttons to display the logs that are created during a mainframe upload or download session. If a problem occurred during an mainframe session, these logs may often contain information that can help you or your technical support staff diagnose the problem. You can print the logs or save copies to a filename of your own choosing. If the upload or download steps have not been completed for the EDR, ETS-FTP will tell you that the selected log is empty.

d) Click the <u>Feedback</u> button to display the feedback report that has been downloaded from the EPA mainframe. You can print the report or save a copy to a filename of your own choosing. If the download step has not been completed for the EDR, ETS-FTP will tell you that the feedback report is empty.

**Figure 5: Example Check Log**
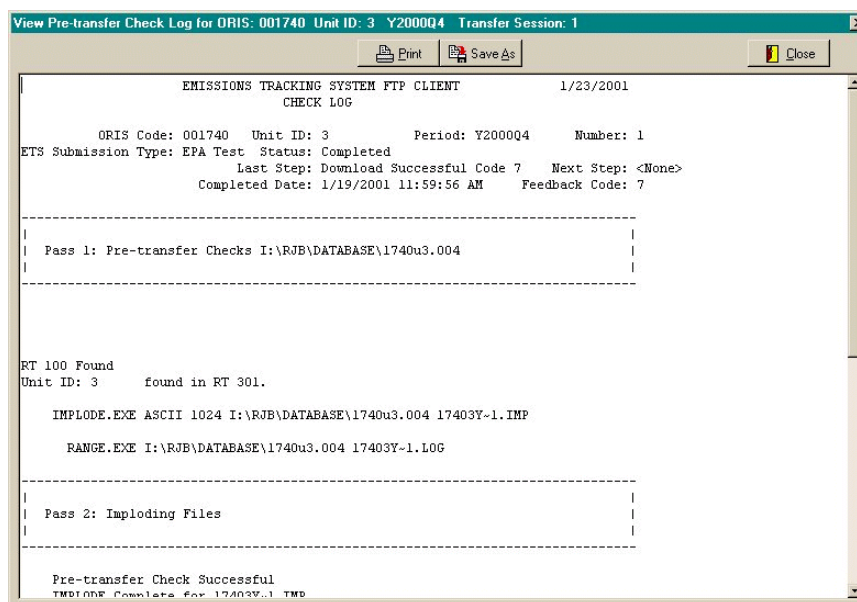
**Figure 6:  Example Active Transfers Summary Report**



### 4.1.2   EDR Active Transfers List

The EDR Active Transfers list is the primary feature of the Active Transfers screen (see Figure 1), occupying the lower two-thirds of the screen (white background). When ETS-FTP is first installed the list is empty; it becomes populated as you add EDRs.  After you add an EDR, the entry appears in the list and you can then monitor the progress as you process the EDR through the various steps (Add, Check, Upload, Download).  You can also change certain items for one or more EDRs in the list by using a mouse-activated, popup Update menu (see item 10, below).

At the top of the list is a grey-colored heading containing the following column descriptions for the EDR list, from left to right:  Status, Last Step, Next Step, ORIS, Unit ID, Period, Submission Type, and EDR File.  The columns display current information for each EDR, as described below.

1) **Status:** The possible status values are:  Active, On Hold, Canceled, and Completed.  "Active" means that the EDR is currently ready to be processed through the next step.   If you want to temporarily exclude the EDR from processing, you can change the status from "Active" to "On Hold."  If you need to terminate an EDR entry due to a problem, you can change the status to "Canceled" if the EDR currently has a status of Active or On Hold.  For instructions on how to perform these changes, see "Update Menu" (item 10 below).  Once you have successfully submitted the EDR to EPA and retrieved the feedback file, the status will finally become "Completed."  Once an EDR reaches "Completed" status, you cannot change the status.

2) **Last Step:** This column shows the last step that was performed. If the last step was successfully completed the possible values are: Added, Check Successful, Upload Successful, Download Successful, Canceled by User, Preempted by User, and Canceled by ETS-FTP. If problems were encountered during the last step, a short descriptive message will be displayed. The software automatically records and updates this column as processing continues.

3) **Next Step:** This column shows the next processing step for the EDR. The possible values are: Check, Upload, Download, and <none>. The software automatically records and updates this column as processing continues

4) **ORIS:** This column displays the ORIS (facility) code that ETS-FTP extracted from the RT 100 in the EDR when it was added to the list.

5) **Unit ID:** This column displays the Unit/Stack/Pipe ID that ETS-FTP extracted from the EDR when it was added to the list.

6) **Period:** This column displays the calendar year and quarter that ETS-FTP extracted from RT 100 in the EDR file. For example, for a 1$^{st}$ quarter 2001 EDR the entry would display "Y2001Q1."

7) **Number:** The "submission number" is the total number of times that an EDR for a specific ORIS Code, Unit/Stack ID, and reporting period has been added to the Active Transfers list. For example, the first time the EDR is added to the list, the column will display "1" for that entry. After this entry is completed or canceled, if the EDR is added to the list again to be reprocessed and resubmitted to EPA (after corrections, for example) the new entry will be identified as "2," and so on.

8) **Submission:** This column displays the selected submission type for the EDR, either "Official" or "Test."

9) **EDR File:** This is the EDR file name and location on your computer system at the time you added the file to the list. The EDR needs to be in any location accessible to the user and PC on a local or network drive.

   WARNING: If you rename, move, or delete the file after you have added it to the list, ETS-FTP will display an error message stating that it cannot find the file when you attempt to process it. If this occurs you will need either to cancel the session for that EDR and add it to the list again, or restore the EDR file to its previous name and/or location where ETS-FTP expects to find it.

10) **Update Menu:** A mouse-activated menu enables you to update the entries for selected individual EDRs or for multiple EDRs. For example, you can change

the Status from "Active" to "On Hold," you can cancel an active session, or you can change the submission type from "Official" to "Test." To access the update menu, first select the desired EDR in the list (or position the mouse pointer in the list) and click the right mouse button. The update menu will popup on screen and display the following nine update items for you to choose from:

a) **Activate:**  Change the Status from "On Hold" to "Active" for the highlighted EDR.  This EDR is now available for processing.

b) **Put on Hold:**  Change the Status from "Active" to "On Hold" for the selected EDR.  This EDR is now unavailable for processing until you reactivate it.

c) **Cancel:**  Cancel the Selected EDR entry.  Once an entry has been Canceled it cannot be reactivated.

d) **Active >> On Hold:**  Change **ALL** EDRs currently having an "Active" status to "On Hold."  These EDRs are now unavailable for processing until you Reactivate them.

e) **On Hold >> Active:**  Change **ALL** EDRs currently "On Hold" to "Active."  These EDRs are now available for processing.

f) **Canceled >> History:**  Remove **ALL** "Canceled" entries from the Active Transfers screen to the Transfer History screen.

g) **Completed >> History:**  Remove **ALL** "Completed" entries from the Active Transfers screen to the Transfer History screen.

h) **Official:**  Change the submission type (ETS Reporting Region) for the selected EDR from "Test" to "Official."  This update can only be made BEFORE the EDR is uploaded to the EPA mainframe.

i) **Test:**  Change the submission type for the selected EDR from "Official" to "Test."  This update can only be made BEFORE the EDR is uploaded to the EPA mainframe.

**Figure 7:  Update Menu**
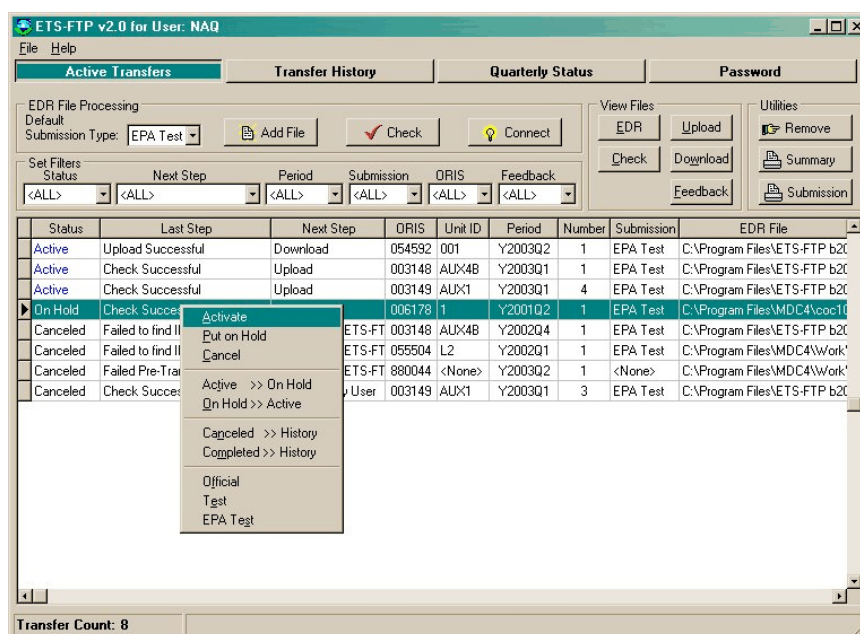


### 4.1.3   Mainframe Reports

After you submit an EDR to the EPA mainframe, the file is processed and a
Feedback Report is generated for you to download to your PC.  The feedback
report is your official record of EPA's receipt of your EDR and the results of EPA's
automated ETS analysis of the EDR data.  The report contains the following
sections:

1)   A feedback letter addressed to the facility's Certifying Official (determined by
     the ORIS Code).  The Certifying Official is either the facility's Designated
     Representative (DR, for Acid Rain Program sources) or the Authorized
     Account Representative (AAR, for $NO_x$ Budget Program sources).

     The Feedback Letter is addressed to the DR/AAR for the source for which the
     EDR was submitted.  An EPA staff person (analyst) is identified in the letter's
     signature block, along with their phone number and e-mail address.  You can
     contact the EPA analyst if you have questions about the Feedback Report
     and/or the EDR.  The report also includes an EDR Status Code assigned to the
     submitted report, receipt information (confirms submission date, time, etc.)
     along with an explanation of the Status Code and any follow-up action
     required by the DR/AAR.  The Status Code is determined by the results from
     the quality assurance checks performed on the EDR by the mainframe ETS
     software.  The possible Status Codes are:

     a)   5, the EDR contains critical errors and must be resubmitted.

b)  6, the EDR was rejected due to severe file problems and must be
resubmitted.

c)  7, the EDR represents a non-operational unit/stack.

d)  9, the EDR contains informational errors (these errors may require
resubmission in some cases).

e)  10, the EDR did not contain errors (to the extent of the checks applied by
EPA).

2)  A Cumulative Summary Table containing the current cumulative emissions
values for the year and/or Ozone Season for each Unit/Stack ID reported in the
EDR.

The Cumulative Data Summary Table is provided for each unique
Unit/Stack/Pipe ID reported in the EDR.  For sources affected by the Acid
Rain Program this table displays the cumulative annual $SO_2$, $NO_x$, $CO_2$, and
heat input values and the EPA-accepted cumulative annual values for each
parameter.  For sources affected by the OTC $NO_x$ Budget Program, the table
displays the cumulative ozone season heat input and $NO_x$ mass emissions
values along with the EPA-accepted values for these parameters.

**NOTE:**  Beginning with first quarter 2001, this table also will be followed by
a Quarterly Values Summary table for each Unit/Stack/Pipe ID.

3)  Beginning in first quarter 2001 the report will also contain a Quarterly Values
Table to summarize the total emissions for each calendar quarter for each
Unit/Stack ID reported in the EDR.

4)  An EDR Error Report (note: the feedback report for a non-operational
unit/stack will not contain this item).

The EDR Error Report presents results from the detailed analysis of the EDR.
It includes a summary of any errors that were found, according to severity level
(Rejection, Critical Error, or Informational Error), and a detailed description of
any errors.  If the EDR represents a stack or unit that did not operate during the
quarter, the Error Report will not be included in the feedback.

5)  An EDR File Summary.

The EDR File Summary lists each record type reported in the EDR for each
Unit/Stack ID, along with the number of occurrences of each record.

6)  A Monitoring Plan Summary.

The Monitoring Plan Summary contains a table that lists the CEM systems installed at the unit/stack that were used to report hourly data in the EDR. There is also a table that summarizes the daily calibration history for each CEM system, including a count of the number of passed calibration tests and the number of days during the quarter during which the CEM reported data.  If no CEM systems are installed and used at the unit/stack because alternative methods are used to report the hourly data, asterisks will appear in those fields.

**NOTE:**  The string "<PAGE BREAK>" appears in the feedback report between the major sections to help you organize the information when you print the report.   You can replace the page break string with a page eject in your word processor prior to printing the report to help make the resulting document easier to read.

## 4.2    Transfer History Screen

To access the Transfer History screen, click the <u>Transfer History</u> tab located in the row of four large program tabs displayed near the top of the ETS-FTP screen.

The Transfer History screen allows you to review information for all your EDR entries that are currently tracked within ETS-FTP, including those that are currently Active, On Hold, Completed or Canceled.  You can use the buttons in the View Files section to access information (EDR file, check log, upload/download log, and feedback report) for the selected EDR. You can also permanently delete "Completed" or "Canceled" EDR entries from the ETS-FTP database (see 2, below for instructions).

The screen differs from the Active Transfers screen in the following ways:

1)  It does not provide any functions for you to process an EDR.  Return to the Active Transfers screen if you need to add, check, and/or connect to the mainframe to upload or download.

2)  You can permanently delete EDR entries from the list.  There are two ways to delete entries:

a)  Delete a single EDR entry.

To delete an individual EDR entry, highlight the desired EDR and use the <u>Delete</u> button (marked with a small trash can icon) located in the Utilities group box at the far right side of the screen.  You will be prompted to confirm the deletion (this delete function will not affect your EDR file itself).  You can only delete EDR entries that are "Canceled" or "Completed."  If you attempt to delete an "Active" or "On Hold" entry,

ETS-FTP will inform you that you first need to return to the Active Transfers screen to either complete the processing or cancel the EDR entry.

**NOTE:** Before you delete a completed EDR entry, be sure you save and/or print copies of the feedback report and any other logs for your records. The delete is permanent; you cannot recover a deleted submission.

b) Delete multiple EDR entries (Quarterly Cleanup).

In some cases you may want to delete quickly a large number of entries from the list. For example, you may want to delete all entries for a specific calendar quarter, or all "Completed" entries, or all "Canceled" entries. To do so, follow these steps:

(1)   Use the Filters (Status, Next Step, Period, Submission, ORIS, Feedback) to tailor the displayed History list so that it displays ONLY the EDR entries you want to delete. Review the list carefully to ensure it is correct. If necessary, print or save copies of the feedback reports for your records.

(2)   Go to the top-left corner of the ETS-FTP program screen and click the "File" drop-down menu.

(3)   Select "Quarterly Cleanup."

(4)   Confirm or cancel the deletions. The following warning message will appear:

"The Quarterly Cleanup will PERMANENTLY delete the visible submissions in the Transfer History page. Use the filters to display the submissions you want to delete.

Click ALL to PERMANENTLY delete these submissions."

If the displayed list is correct, click the <u>ALL</u> button to delete the entries. Click the <u>Cancel</u> button to return to the Transfer History list without deleting the entries.

(5)   After deleting any entries you can set the Filters back to "<ALL>" to redisplay any hidden entries.

3)   The <u>Feedback Save As</u> group box contains an edit box to identify the default location for saving the feedback results and the <u>Save As</u> button to save the feedback from the highlighted submission in the Transfer History list as an ASCII text file.

4) The EDRs in the History list are sorted in order by ORIS Code, Unit/Stack ID, Period, and submission number.

5) The column heading at the top of the Transfer History list contains the same columns as are displayed in the Active Transfers list, along with three additional columns:

   a) **Code:** This is the EPA's ETS Status Code that was assigned to the EDR. ETS-FTP extracts the Status Code from the feedback report when it is retrieved from the mainframe. This column is blank if the EDR entry has not yet reached "Completed" status.

   b) **Completed Date:** This is the date and time on which the feedback report was retrieved from the EPA mainframe, thereby completing the processing for that EDR entry.

6) Additional details about the highlighted EDR submission are displayed on the lower Submission Details group box of the screen, directly below the Transfer History list. These details include the date/time that certain processing steps were completed, and other related information such as mainframe job numbers and the EPA Status Code.

**Figure 8:  Transfer History Screen**



## 4.3     Quarterly Status Screen

The Quarterly Status screen allows you to review your most recent "Official" and "Test" (if any) EDR submissions for each reporting period.  Here ETS-FTP only displays the most recent EDR entry for each specific ORIS Code, Unit/Stack ID, and reporting period.  For example, if a specific EDR has been submitted to EPA more than once, only the last submission entry is displayed.  Only "Active," "Completed," and "On Hold" entries are listed; "Canceled" entries are not included.  You can use the Filters to tailor the displayed list of EDRs.

You can generate a comprehensive Summary report to save or print by clicking the Summary button in the Utilities group box at the far right side of the screen.  This report will contain all the information displayed in the Quarterly Status screen for all the EDRs in the list.  You can also generate a detailed Submission report for an individual EDR entry by clicking the Submission button.  The Submission report contains the results (check log, upload/download logs, and feedback report) for every completed processing step for the selected EDR.

You can use the buttons in the View Files group box to access information (EDR file, check log, upload/download log, and feedback report) for the currently selected EDR.

The Quarterly Status screen differs from the Active Transfers and Transfer History screens primarily in the restricted content of the list. The organization is the same as the Transfer History screen. Information for each EDR entry is displayed in the

following column order, from left to right: ORIS, Unit ID, Period, Number, Submission, Status, Last Step, Next Step, Code, Completed Date.

Additional details about the currently highlighted EDR entry are displayed on the lower grey-colored portion of the screen, directly below the EDR list.  These details include the date/time that certain processing steps were completed, and other related information such as mainframe job numbers and the EPA status code.

**Figure 9:  Quarterly Status Screen**



### 4.4     Password Screen

The Password Screen provides you with locations to enter your EPA User ID and mainframe password, and also provides functions for you to 1) **check** whether your mainframe password stored in ETS-FTP is still valid, 2) **change** your mainframe password, or 3) determine the **age** of your current password.  Instructions for these three password functions are provided under items 1), 2), and 3), below.  The Check password option also serves as a quick way for you test the communications between your computer and the EPA computer system.  If you have misplaced your password or your EPA User ID, or cannot change your password, or cannot otherwise resolve a password problem, please contact the **CAMD Hotline (202) 343-9620** for assistance.

Please note that the EPA's security policy states that you MUST NOT share your EPA User ID and mainframe password with anyone else.  ETS-FTP stores your User ID and password and uses the information each time you attempt to connect

to the EPA mainframe to submit quarterly reports or to perform a password maintenance function.

The bottom half of the Password Screen contains the Password Log which displays the results each time you try to check, change, or determine your password's age, to let you know whether or not the task was successful.  You can click on the <u>Log</u> button on the right side of the screen to expand the Log window to full screen for easier viewing.  You can click on the <u>Print</u> button to print the log or click on the <u>Save As</u> button to save a copy of the log to an external file.  Finally, you can click on the <u>Close</u> button to restore the Log window to the smaller size.

You can also click on the <u>EPA Access Guidelines</u> button to display a summary of the EPA's mainframe password and SecuRemote password requirements as well as instructions for changing the passwords and for basic troubleshooting.  You can print a copy of the Guidelines for reference purposes by clicking on the <u>Print</u> button on the right side of the screen.  Click on <u>Mainframe Account</u> button to close the Guidelines screen and return to the main Password Screen.

1)  Checking Your Mainframe Password

**NOTE:**   The password check will work only if the current password stored in ETS-FTP is valid and has not expired.  If you know your password has already expired (more than 90 days old), proceed to "Changing Your Mainframe Password", under item 2), below.

To check your Mainframe Password follow these instructions:

a)  Go to ETS-FTP's Password Screen by clicking on the <u>Password</u> button at the upper right corner of ETS-FTP's main screen.

b)  Ensure your EPA User ID appears in the <u>Submitter User ID</u> box, and that you have entered your current mainframe password in the <u>Current Password</u> box (asterisks will hide the password).  DO NOT use your SecuRemote password in the <u>Current Password</u> box.

c)  Select the <u>Check</u> option appearing to the right of the <u>Submitter User ID</u> box.

d)  Ensure you have an open Internet connection and then click the <u>Start</u> button on the right side of the screen.   ETS-FTP will attempt to connect to the mainframe and attempt to log on using your EPA User ID and mainframe password.  Be sure to have your SecuRemote password handy, as you will likely need to first establish your SecuRemote authentication before ETS-FTP can access the mainframe and complete the connection.

e)  If the check is **successful**, you will see a "Password Check Completed Successfully" message in the log.  ETS-FTP will also display the current date and time next to the <u>Check</u> button.

On the other hand, if the check **failed** due to a mainframe password problem, the log will contain the following error message from the mainframe: "**530 PASS command failed**", and the log will also display a message that contains tips for resolving the problem (your mainframe password entered in the <u>Current Password</u> box may have expired, or it is incorrect.  Also, ensure that your EPA User ID is correct).  If you are unable to resolve the password problem, please contact the **CAMD Hotline (202) 343-9620** for assistance.  Finally, if the check **failed** because ETS-FTP did not receive any response from the mainframe (no connection made), you will first need to ensure that your Internet connection and the SecuRemote software are working correctly before retrying the check.

2)  Changing Your Mainframe Password

**NOTE:**  The password change option will only work if the current password stored in ETS-FTP is still valid or has only been expired for less than 10 days (when the password expires after 90 days you have an additional 10-day grace period during which you can still change the password using ETS-FTP).  Once your password is 100 or more days old, you cannot change it and your access will be temporarily revoked - you must contact the **CAMD Hotline (202) 343-9620** for assistance in getting a new password assigned to you.

To change your Mainframe Password follow these instructions:

a)  Go to ETS-FTP's Password Screen by clicking on the <u>Password</u> button at the upper right corner of ETS-FTP's main screen.

b)  Ensure your EPA User ID appears in the <u>Submitter User ID</u> box, and that your current mainframe password has been entered in the <u>Current Password</u> box directly below (asterisks will hide the password).  DO NOT use your SecuRemote password in the <u>Current Password</u> box.

c)  Select the "Change" option (located under the <u>Check</u> button) to the right of the <u>Submitter User ID</u> box.  The cursor will immediately move to the <u>New Password</u> box.

d)  You need to select your new mainframe password, according to the following requirements:

**Your new mainframe password must :**

**(1) be from six to eight characters in length, and**

        **(2) contain a mixture of letters and numbers (it cannot contain blanks. Valid characters include letters, numbers, and certain symbols (for example $, # and !)), and**

        **(3) you cannot reuse old passwords.**

e) Enter your desired new password in the <u>New Password</u> box, and re-enter your new password in the <u>Confirm New Password</u> box. The mainframe password is not case-sensitive.

f) After confirming your new password, ensure you have an open Internet connection and then click the <u>Start</u> button on the right side of the screen. ETS-FTP will attempt to connect to the mainframe, log on, and change your password. Be sure to have your SecuRemote password handy, as you will likely need to first establish your SecuRemote authentication before ETS-FTP can access the mainframe and complete the connection.

If the password change was **successful**, you will see a "Password Changed Successfully" message in the log, and the new password becomes the current password stored in ETS-FTP. The current date will also appear next to the <u>Change</u> button to record the date on which you changed the password, and the "Age" value will be reset to zero days and will automatically update to display the current age of your password, as a handy reminder.

**IMPORTANT:**    **Make sure that you remember or make a personal record of your new mainframe password.**

On the other hand, if the password change **failed** due to a mainframe password problem, the log will contain the following error message from the mainframe: "**530 PASS command failed**", and the log will also display a message that contains tips for resolving the problem (it is likely that the password change could not be completed because your password entered in the <u>Current Password</u> box is incorrect or is no longer valid, or your new password does not meet the password requirements described in d), above). If you are unable to resolve the password problem, please contact the **CAMD Hotline (202) 343-9620** for assistance. Finally, if the password change **failed** because ETS-FTP did not receive any response from the mainframe (no connection made), you will first need to ensure that your Internet connection and the SecuRemote software are working correctly before retrying.

**Figure 10:  Password Screen - Check Option**



3)  Determining the Age of Your Mainframe Password

The password Age check will work only if the current password stored in ETS-FTP is valid and has not expired.  If your password has expired (more than 90 days old), go to "Changing your Mainframe Password", under item 2), above.

To determine the current age of your Mainframe Password follow these instructions:

a)  Go to ETS-FTP's Password Screen by clicking on the <u>Password</u> button at the upper right corner of ETS-FTP's main screen.

b)  Ensure your EPA User ID appears in the <u>Submitter User ID</u> box near the middle of the screen, and that your current mainframe password has been entered in the <u>Current Password</u> box directly below (asterisks will hide the password).  DO NOT use your SecuRemote password in the <u>Current Password</u> box.

c)  Select the "Age" option (located under the "Change" button) to the right of the <u>Submitter User ID</u> box.

d)  Ensure you have an open Internet connection and then click the <u>Start</u> button on the right side of the screen.  ETS-FTP will connect to the mainframe and attempt to log on using the mainframe password currently stored in the <u>Current Password</u> box.  Be sure to have your SecuRemote password handy, as you will likely need to first establish your SecuRemote

authentication before ETS-FTP can access the mainframe and complete the connection.

e) If the connection is **successful**, ETS-FTP will issue a command to retrieve the password age from the mainframe and after a short time you will see the password age displayed in the Log.  ETS-FTP will also display the password age in days next to the Age button.

**NOTE:**    Allow a minute or two for ETS-FTP to complete the session and disconnect from the mainframe.

On the other hand, if the Age check **failed** due to a mainframe password problem, the log will contain an error message that will briefly describe the problem.  If the message says that your mainframe password is **invalid**, be sure that the correct password has been entered in the Current Password box, and try again.  If the message says your password has **expired**, try to change your password as described under 2), above.  If the message says that your EPA User ID is **incorrect**, be sure you have correctly entered your 3-letter EPA User ID in the Submitter User ID box, and try again.  If the message states that your access has been temporarily **revoked**, or if you are otherwise unable to resolve the password problem, please contact the **CAMD Hotline (202) 343-9620** for assistance.  Finally, if the Age check **failed** because ETS-FTP did not receive any response from the mainframe (no connection made), you will first need to ensure that your Internet connection and the SecuRemote software are working correctly before retrying.

**NOTE:**  The Age function uses an Internet Telnet control and a script to connect to the mainframe and retrieve the password age information.  You must allow the script to finish normally, it may take a couple minutes for ETS-FTP to complete the task and then disconnect.  Be patient and do not interrupt or terminate the connection before it is complete.  Testing of this function has shown that interrupting the script before completion may leave the mainframe side of the Telnet session still open.  If you reconnect with Telnet the mainframe session will "remember" where it left off when the interruption occurred, and it will be out of synch with ETS-FTP, and the session will fail.

**Figure 11:  Password Screen - Age Option**

## 5       OTHER MENU OPTIONS

### 5.1     Options Screen:  Changing the System Defaults

The Options menu allows you to configure some of ETS-FTP's default settings
(directories, EDR submission type, etc.) according to your preferences.  To access
this menu, go to the upper-left corner of the ETS-FTP screen and click the <u>File</u>
menu to invoke the drop down menu.  Select <u>Options</u> and the Options - System
Defaults window will appear.  You are provided with the options listed below for
which you can choose your defaults or make other changes.  After making any
changes, click the <u>OK</u> button to save them and exit the Options screen.

1)  **Add File Folder**

    The current default folder path is displayed.  If you keep your EDR files in a
    favorite folder, you can make that folder the default to minimize the need to
    browse for your EDRs when you are adding them to the Active Transfers list.
    To select a new folder, click the icon at the far right of the <u>Add File Folder</u> text
    box.  You will then see a Select Folder dialog box where you can select your
    desired disk drive and folder (folder); be sure to click the folder where your
    EDR files are located.  Click the <u>OK</u> button to save the selected folder path as
    the new default.

2)  **Save As Folder**

    The current default folder path is displayed.  If you want to save copies of your
    EDR feedback reports and associated logs to a favorite folder, you can make
    that folder your default.  To select a new folder, click the icon at the far right
    of the <u>Save As Folder</u> text box.  You will then see a Select Folder dialog box
    where you can select your desired disk drive and folder (folder), be sure to
    click the folder where you want the files to be saved to.  Click the <u>OK</u> button
    to save the selected folder path as the new default.

3)  **Default Submission Type**

    Here you can choose the default submission type (ETS Reporting Region) for
    your EDRs when you first add them to the Active Transfers screen.  The
    choices are "Official," "Test," or "Last One Used."

4)  **Filters**

    Here you can choose default Filter settings for "Status," "Next Step," "Period,"
    "Submission Type," and "ORIS Code" that are used to determine which EDR
    entries are displayed in the list screens.  The default setting is "Last One
    Used."

5) **Mouse Hints**

      Here you can disable or enable the hints that appear when your mouse pointer touches a button or portion of a screen.

**Figure 12:  Options Screen**
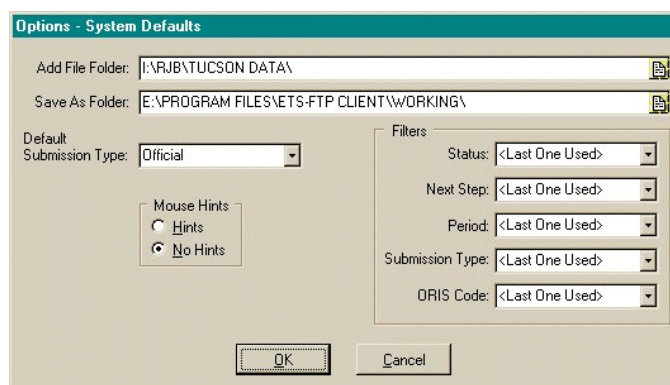


## 5.2    About Form

ETS-FTP's Help menu contains a handy quick reference section labeled About, where you can get contact information (phone numbers, addresses, etc.) for EPA's Clean Air Markets Division (CAMD), ETS-FTP's technical support contractor, Perrin Quarles Associates (PQA), password hotlines, and related Web sites.  You can also look up some technical information regarding ETS-FTP.

To access the About screen, go to the upper-left corner of the ETS-FTP screen and click the Help menu option to invoke the drop down help menu.  Go to the bottom of the help topic list and select About ETS-FTP, and the About window will appear.  This window lists the ETS-FTP version information, CAMD and PQA addresses and phone numbers, Password Hotline phone numbers for ETS mainframe password assistance (202) 343-9620 and SecuRemote password assistance (866) 411-4372, and ETS-FTP related Web site addresses.

Click the OK button to close the window and return to ETS-FTP.

**Figure 13:  About Screen**
and **ETS-FTP Information**
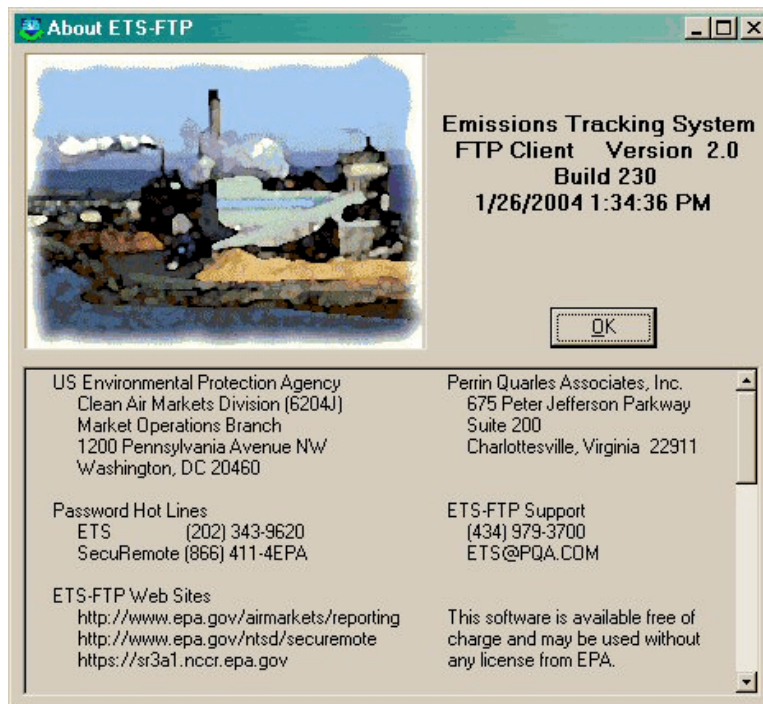
**6          TROUBLESHOOTING**

**Contact Information**

Password Hot Lines

    Mainframe      (202) 343-9620
    SecuRemote    (866) 411-4372

ETS-FTP Web Sites

    http://www.epa.gov/airmarkets/reporting
    http://www.epa.gov/ntsd/securemote
    https://sr3a1.nccr.epa.gov

ETS-FTP Support

    Perrin Quarles Associates, Inc.
    675 Peter Jefferson Parkway
    Suite 200
    Charlottesville, Virginia  22911
    Phone:          (434) 979-3700
    FAX:            (434) 296-2860
    Email:          ets@pqa.com

During your EDR processing you may encounter problems along the way.  In
some cases ETS-FTP will detect a severe problem with your EDR and prevent
you from proceeding further until you have corrected the file.  In other cases
you may find that ETS-FTP cannot submit an EDR due to data transfer
problems (Internet or mainframe connection) or due to a mainframe security
issue (you are not authorized to submit the report in question).  Several of the
most common problems are discussed below.

**6.1        Problems encountered when trying to add an EDR to the Active Transfers
            Screen**

When you choose to add an EDR file to the Active Transfers screen, the
software reads the first record (RT 100) to determine the facility code (ORIS
Code), calendar year, and calendar quarter.  Then, the next few records are
scanned to determine the Unit/Stack/Pipe ID.  ETS-FTP then displays this
information in the Active Transfers screen and uses it in other screen displays,
reports, and to identify each EDR when it is submitted to the EPA mainframe.
If the quarterly report is unreadable or contains an invalid ORIS Code,
calendar year, or calendar quarter (for example, the calendar year reported in
RT 100 year is '5' or the ORIS Code is blank, etc.), ETS-FTP will display an
error message and cancel the entry due to the severity of the problem.  You
must correct the problem(s) found in the EDR and try to add the file again.

**6.2      Problems encountered when submitting an EDR to the EPA mainframe**

Once you have added an EDR to the Active Transfers screen and completed the Check EDR function, the next step is to upload the EDR to the EPA mainframe.  Once ETS-FTP attempts to connect to the mainframe you may encounter one of the following problems:

1)  ETS-FTP cannot connect and log on to the mainframe due to SecuRemote problems, mainframe password problems, or other EPA access issues.  If ETS-FTP cannot gain access to the EPA mainframe, refer to Technical Support for assistance.

2)  ETS-FTP successfully contacts the EPA mainframe and begins the submission but cannot complete it due to an FTP or connection problem.  In this case the connection from your location to the EPA mainframe could have been broken, canceled, interrupted or timed-out (no response).  The FTP commands sent by ETS-FTP could also have been corrupted, interrupted, or timed-out.  In this case, consult your local computer support staff and PQA Technical Support for assistance.

3)  ETS-FTP successfully contacts the mainframe but cannot submit an EDR because the user is not authorized to submit the EDR.  EPA grants each authorized user the access to submit official EDRs only for certain facilities (ORIS Code) and for a specific calendar year/quarter.  If a situation occurs where the EPA mainframe security software prevents an EDR from being submitted, ETS-FTP will display the following error message in the Upload log to alert you:

```
***********************************************************
*                                                         *
* User ID: xxx                                            *
*                                                         *
* This user is NOT authorized to submit EDR files to the  *
* specified ORIS Code and/or Year-Quarter.                *
* Check that the submission type (Official or Test),      *
* ORIS Code, and Year-Quarter are correct.                *
*                                                         *
* If so, contact EPA for further assistance.              *
*                                                         *
***********************************************************
```

**NOTE:**      "xxx" will be replaced with the EPA User ID currently entered in ETS-FTP.  To view the Upload log, go to the "View Files" section of the Active Transfers screen, and click the <u>Upload</u> button to view the log.  Contact the EPA Clean Air Markets Division Hotline at (202) 343-9620.

The following situations are the most common ones where an EDR submission is prevented due to a security issue:

a) Incorrect Calendar year or Calendar quarter in RT 100.

The calendar year and/or calendar quarter specified in RT 100 does not correspond to the data reported in the rest of the EDR.  For example, the problem report may contain hourly/cumulative data for fourth quarter 2000, but RT 100 erroneously states that the EDR is for first quarter 2001.  In this example the mainframe security system will reject your submission because you currently only have official access for fourth quarter 2000 but the EDR has the wrong calendar year/quarter.  Cancel the session for the incorrect report, correct the RT 100 in the EDR, add the corrected EDR to the Active Transfers list, and retry the submission.

b) Incorrect Quarterly Report.

You inadvertently added the wrong EDR to the Active Transfers list.  For example, you may currently only have access for submitting reports for fourth quarter 2000, but the selected report is a third quarter 2000 report instead of the fourth quarter report that you want to submit.  Cancel the session for the incorrect report and then locate and add the correct EDR to the Active Transfers list.

c) Attempted official resubmission for prior quarter without EPA approval.

As a standard procedure, EPA's mainframe security software will prevent unauthorized official resubmissions for prior quarters.  If you need to officially resubmit an EDR for a prior quarter, you must first contact EPA to be granted the necessary temporary access privileges (EPA Clean Air Markets Division Hotline at (202) 343-9620).  Be prepared to identify which EDRs you need to resubmit by providing the relevant facility's ORIS Code and calendar quarter(s).

d) The user does not have access for the facility (ORIS Code) identified in the EDR.

EPA only allows each Authorized User to submit EDR files for specific facilities, keyed by the ORIS Code.  When ETS-FTP attempts to submit an EDR, the mainframe security system checks the ORIS Code against the list of ORIS Codes for which the authorized user has been granted access.  If the ORIS Code is not in the list you will be prevented from submitting the EDR and ETS-FTP will issue an error message, as described in 3), above (also check the Upload log for the problem session).  If this problem occurs, first check that the ORIS Code reported in the EDR is correct for the facility, and correct it if necessary (cancel the problem EDR session and add the revised EDR to the Active Transfers list).  Otherwise, contact the EPA Clean Air Markets Division Hotline at (202) 343-9620 for assistance.

> **NOTE:** This situation can occur for new facilities or if you are a new user. EPA may need to update your access information accordingly.

**6.3        Problems encountered during communication with the EPA Mainframe**

The FTP process can fail for several reasons. The connection to the mainframe could be broken, canceled, interrupted, or timed out. The FTP transfer commands could be corrupted, interrupted, or timed out. Usually the transfer log will display the FTP communication messages as the submissions progress. The best thing to do is to wait for a response from the FTP command. This may take several minutes. In time you will get a feel for slow and bad situations.

ETS-FTP and SecuRemote work independently of each other. The ETS-FTP transfers start with an FTP Connect command referencing the mainframe's hidden IP address and begins a countdown timer to cancel the session if the connection fails. This command prompts SecuRemote to establish the VPN secure link to the EPA firewall which allows ETS-FTP to see the mainframe.

After soliciting the SecuRemote user name and password, SecuRemote will attempt to connect to the EPA firewall. If it fails to connect either SecuRemote will do nothing or display a dialog box stating that the communications failed with IP address 134.67.2.4 or EPA site AG. If it successfully connects to the firewall it will display one of two dialog boxes. The box with red text states that the negotiations failed (meaning that the SecuRemote user name or password is not valid) and access is denied to the mainframe by the firewall. The box with blue text states that you have been authenticated to the TACACS Authentication Server (meaning that the secure connection is setup, ready for use, and the mainframe is visible to ETS-FTP).

While the connecting and negotiating are taking place the countdown timer in ETS-FTP may expire. If it does then ETS-FTP will cancel the attempt to connect to the mainframe and display a "failed to connect" message. Once the SecuRemote blue text dialog box is displayed you may click the ETS-FTP <u>Start</u> button again to repeat the session.

**6.4        Problems encountered when trying to view Feedback for sessions involving multiple submissions**

There were incidents when downloading multiple feedback files resulted in the loss of Upload and Download logs and Feedback reports in the ETS-FTP database. This is a problem with the Borland Database Engine (BDE). You can correct the problem by upgrading the BDE on your system with an update from the InterBase Installation Info web site.

Create an empty folder on your hard disk for the update package.   Connect to the following web page and download the BDEInfoSetup.zip to that folder.

http://ibinstall.defined.net/dl_bdeinfo.htm

Click on the first link, "BDEInfoSetup.zip," and save it to that folder.  Unzip that file into the same folder.   Double-click BDEInfoSetup.EXE, and it will start the BDE v5.2 installation.  This will not recover the lost data.  But, ETS-FTP should not lose any more data.

**6.5        Problems encountered when trying to perform the Active Transfers Check**

Under Windows 2000/XP there have been occurrances where the DOS programs IMPLODE.EXE and RANGE.EXE fail to run.  You may sett a message stating "cannot execute C:\Program Files\ETS-FTP\Working\IMPLODE.EXE."  This is a function of the Windows settings.  The following procedure will establish the legacy DOS standards for running these program under Windows.  The process involves setting up a Preogram Information File (PIF) for each program.  In effect, you are creating a shortcut for the program that contains additional runtime parameters.  Perform the procedure for both the IMPLODE.EXE and the RANGE.EXE.
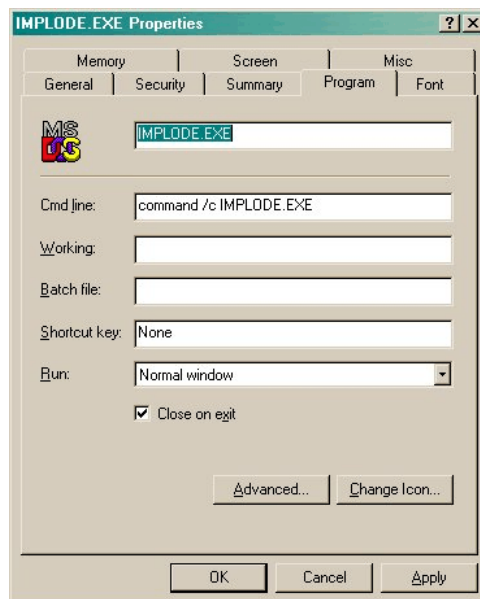
1.  Navigate to C:\Program Files\ETS-FTP\Working.

2.  Right-click on IMPLODE.EXE and select Properties.  The following Properties box will pop up.  Set the values to those shown.

**Figure 14:  IMPLODE.EXE Properties
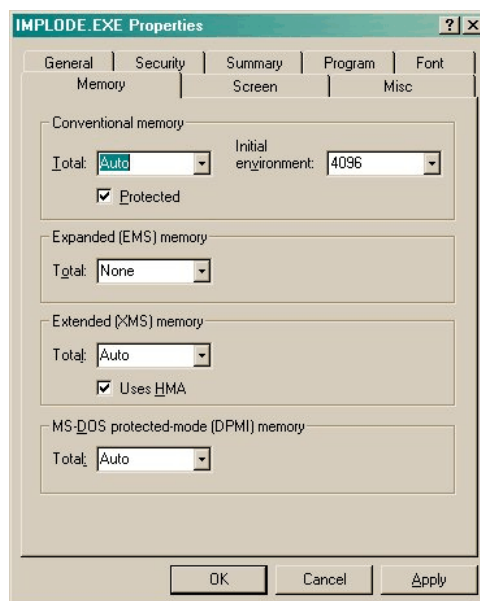General Tab**
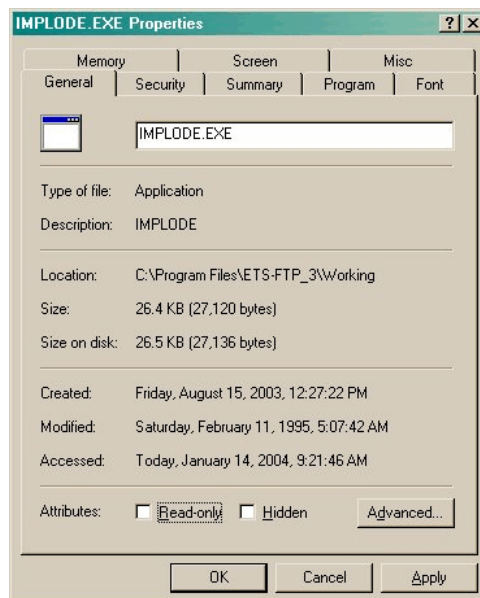
3. Click on the Program Tab and make these settings.

**Figure 15: IMPLODE.EXE Properties
Program Tab**



4. Click on the Memory Tab and make these settings.

**Figure 16: IMPLODE.EXE Properties
Memory Tab**



5. Click Apply and OK.